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PTO/SB/21 (09-04)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

|                                                                                             |                        |                  |
|---------------------------------------------------------------------------------------------|------------------------|------------------|
| <b>TRANSMITTAL<br/>FORM</b><br><br>(to be used for all correspondence after initial filing) | Application Number     | 09/824,305       |
|                                                                                             | Filing Date            | April 2, 2001    |
|                                                                                             | First Named Inventor   | Mahajan, Umesh   |
|                                                                                             | Art Unit               | 3624             |
|                                                                                             | Examiner Name          | Alpert, James M. |
| Total Number of Pages in This Submission                                                    | Attorney Docket Number | G08.055          |

**ENCLOSURES (Check all that apply)**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> 2 <sup>nd</sup> Supplemental Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Reply to Missing Parts/Incomplete Application<br><input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____<br><input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance communication to (TC)<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Copy of European Communication, Form 1449 with copies of 2 cited references, and Acknowledgement Postcard |
| <b>Remarks</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|              |                                   |          |        |
|--------------|-----------------------------------|----------|--------|
| Firm Name    | Buckley, Maschoff & Talwalkar LLC |          |        |
| Signature    |                                   |          |        |
| Printed name | Nathaniel Levin                   |          |        |
| Date         | September 30, 2005                | Reg. No. | 34,860 |

**CERTIFICATE OF TRANSMISSION/MAILING**

|                                                                                                                                                                                                                                                                                                                                    |              |      |                    |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|------|--------------------|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. |              |      |                    |
| Signature                                                                                                                                                                                                                                                                                                                          |              |      |                    |
| Typed or printed name                                                                                                                                                                                                                                                                                                              | Edith Martin | Date | September 30, 2005 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

In you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Patent

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: MAHAJAN et al.

Application No.: 09/824,305

Filing Date: April 2, 2001

For: APPARATUS, METHODS AND  
ARTICLES OF MANUFACTURE  
FOR COMPUTERIZED  
TRANSACTION EXECUTION AND  
PROCESSING

)  
) Group Art Unit: 3624

)  
) Examiner: Alpert, James M.

)  
) **2<sup>nd</sup> SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT**

)  
) Attorney Docket No.: G08.055

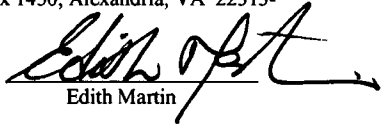
)  
) **PTO Customer Number 28062**  
) Buckley, Maschoff & Talwalkar LLC  
) Five Elm Street  
) New Canaan, CT 06840

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on September 30, 2005.

Dated: September 30, 2005

By:

  
Edith Martin

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicant submits herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor

shall the filing of this Information Disclosure Statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

The items listed herein were cited in a June 14, 2005 European Patent Communication in a counterpart application. A copy of the Communication Report is also enclosed.

No fee is believed to be due under 37 CFR §1.17(p) for this Information Disclosure Statement since it is being filed before the mailing date of first office action on the merits.

Respectfully submitted,

September 30, 2005

Date



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Nathaniel Levin  
Registration No. 34,860  
Buckley, Maschoff & Talwalkar LLC  
Five Elm Street  
New Canaan, CT 06840  
(203) 972-3460



|                                                                                                                                          |   |    |   |                               |                  |
|------------------------------------------------------------------------------------------------------------------------------------------|---|----|---|-------------------------------|------------------|
| Substitute for form 1449A/PTO                                                                                                            |   |    |   | <b>Complete if Known</b>      |                  |
| <b>2<sup>ND</sup> SUPPLEMENTAL<br/>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(use as many sheets as necessary)</i> |   |    |   | <b>Application Number</b>     | 09/824,305       |
|                                                                                                                                          |   |    |   | <b>Filing Date</b>            | April 2, 2001    |
|                                                                                                                                          |   |    |   | <b>First Named Inventor</b>   | MAHAJAN, Umesh   |
|                                                                                                                                          |   |    |   | <b>Group Art Unit</b>         | 3624             |
|                                                                                                                                          |   |    |   | <b>Examiner Name</b>          | Alpert, James M. |
| <b>Sheet</b>                                                                                                                             | 2 | of | 2 | <b>Attorney Docket Number</b> | G08.055          |

| OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS |                          |                                                                                                                                                                                                                                                                 |                |
|---------------------------------------------------|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| Examiner<br>Initials*                             | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|                                                   |                          | "European Patent Communication", mailed 14/06/2005, for 02 721 615.9                                                                                                                                                                                            |                |
|                                                   |                          |                                                                                                                                                                                                                                                                 |                |
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|                                                   |                          |                                                                                                                                                                                                                                                                 |                |

|                               |                      |                            |            |
|-------------------------------|----------------------|----------------------------|------------|
| <b>Examiner<br/>Signature</b> | /Richard Weisberger/ | <b>Date<br/>Considered</b> | 08/30/2010 |
|-------------------------------|----------------------|----------------------------|------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.